



**FEDERAL LABOR RELATIONS AUTHORITY**  
**OFFICE OF INSPECTOR GENERAL**

**SEMIANNUAL REPORT  
TO THE CONGRESS**

**April 1, 2000 to  
September 30, 2000**

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## EXECUTIVE SUMMARY

This is the twenty-second semiannual report issued by the Office of Inspector General (OIG) at the Federal Labor Relations Authority (FLRA). This report, submitted pursuant to section 5 of the Inspector General Act, summarizes the major activities and accomplishments of the Office of the Inspector General during the period April 1, 2000 through September 30, 2000.

During this reporting period, the FLRA Inspector General received and addressed three Congressional requests for information. Additionally, the Inspector General processed 15 Hotline Calls, conducted five preliminary investigations, and one administrative investigation. The FLRA Inspector General completed internal reviews on the FLRA External Affairs function and the FY 99 Annual Performance Plan Submission. The FLRA Inspector General also began an audit of FLRA's Computer Information Security and internal review of the Office of the General Counsel's Investigation Process during this reporting period. The FLRA Inspector General continues to actively participate in the Presidential Council for Integrity and Efficiency/Executive Council for Integrity and Efficiency (PCIE/ECIE) as a member of the Strategic Planning Committee and Legislation Committee. During this reporting period, the Inspector General attended the PCIE/ECIE Retreat, the Institute of Internal Auditor's Audit Management and Fraud Conferences, and the Employment Law Conferences on Glass Ceiling Management.

During this reporting period there were no mission impacting findings or significant outstanding corrective actions from previous oversight initiatives.

## THE FEDERAL LABOR RELATIONS AUTHORITY

The FLRA is an independent agency responsible for directing the labor-management relations for 1.9 million non-postal Federal employees world-wide, nearly 1.1 million of whom are exclusively represented in approximately 2,200 bargaining units. The FLRA is charged by the Federal Service Labor-Management Relations (FSLMR) Statute, section 7105, with providing leadership in establishing policies and guidance relating to Federal sector labor-management relations, resolving disputes arising among Federal agencies and unions representing Federal employees, and ensuring compliance with the FSLMR Statute.

The FLRA represents the Federal government's consolidated approach to labor-management relations. It is "three agencies in one", fulfilling its statutory responsibilities through its three primary operational components—the Authority, the Office of General Counsel and the Federal Service Impasses Panel. It also provides full staff support to two other organizations – the Foreign Service Impasses Disputes Panel and the Foreign Service Labor Relations Board.

The Authority is a quasi-judicial body with three full-time Members who are appointed for 5-year terms by the President with the advice and consent of the Senate. One member is appointed by the President to serve as Chairman of the Authority and as Chief Executive and Administrative Officer of the FLRA. The Chairman also serves as a member of the National Partnership Council, established by President Clinton to promote labor-management partnerships in the Federal service, and heads the Foreign Service Labor Relations Board.

The Authority adjudicates disputes arising under the FSLMR Statute, deciding cases concerning the negotiability of collective bargaining agreement proposals, unfair labor practice (ULP) allegations, representation petitions, and exceptions to grievance arbitration awards. In addition, consistent with its statutory responsibility to provide leadership in establishing policies and guidance to participants in the Federal labor-management relations program, and as part of the Collaboration and Alternative Dispute Resolution (CADR) Program described below, the Authority assists Federal agencies and unions in understanding their right and responsibilities under the Statute and resolving their disputes through interest-based problem-solving rather than adjudication.

In addition to the three Member Offices, the Authority component of the FLRA also houses the Office of Administrative Law Judges, the Collaboration and Alternative Dispute Resolution Office, the Office of the Solicitor, the Office of the Executive Director, and the Office of the Inspector General.

*Office of the Administrative Law Judges:* The FLRA's Administrative Law Judges (ALJs) are appointed by the Authority to hear and prepare recommended decisions in cases involving alleged ULPs. In addition, ALJs issue decisions involving applications for attorney fees and files pursuant to the Back Pay Act or the Equal Access to Justice Act. The decisions of the ALJs may be affirmed, modified, or reversed, in whole or in part, by the Authority. If no exceptions are filed to an ALJs decisions, the decision is adopted by the Authority and becomes final and binding on the parties. The ALJs also issue subpoenas as requested by the parties. While performing their duties, the ALJs engage in settlement efforts throughout all stages of the process and conduct prehearing conferences in all ULP cases.

*Collaboration and Alternative Dispute Resolution (CADR) Office:* In FY 1996, the Authority, the OGC, and the FSIP established the joint CADR Program. This created a unified labor-management relations program that targets a variety of collaboration and alternative dispute resolution techniques at all steps of the process, from investigation and prosecution to the adjudication of cases and resolution of bargaining impasses. The CADR Program also provides partnership facilitation and training programs to assist labor and management in developing constructive approaches to conducting their relationship. The CADR Office is responsible for coordinating, supporting, and expanding the unified CADR Program.

*Office of the Solicitor:* The Office of the Solicitor represents the Authority in court proceedings before all United States Courts, including the U.S. Supreme Court, U.S. Courts of Appeals, and Federal District Courts. The office serves as the agency's in-house counsel, providing legal advice to all FLRA components. The Solicitor is also the Designated Agency Ethics Officers under the Ethics in Government Act of 1978, as amended.

*Office of the Executive Director:* The Office of the Executive Director is responsible for developing and implementing agency-wide initiatives, such as strategic planning. This office also provides operational support to all components of the FLRA, including budget and finance, human resources, procurement, administrative services, and information resources management.

*Office of the Inspector General:* The Office of the Inspector General is responsible for directing and carrying out audits and investigations related to the FLRA Programs and operations. In addition, the office recommends policies that promote economic, efficient, and effective agency programs that prevent fraud, waste and abuse. The office is responsible for keeping the Chair and the Congress fully informed of problems and deficiencies, as well as the necessity for corrective action. The Office of the Inspector General is mandated by Public Law 100-504

and the Inspector General Act Amendments of 1988.

The Office of the General Counsel (OGC) is the independent investigative and prosecutorial component of the FLRA. The OGC investigates all ULP charges filed by labor or management and prosecutes all ULP complaints before the Authority. The General Counsel, who is appointed by the President with the advice and consent of the Senate for a 5-year term, manages all OGC employees. OGC employees comprise over 50 percent of the FLRA's staff. Most of the OGC's staff serves in the FLRA's seven regional offices located in Atlanta, Boston, Chicago, Dallas, Denver, San Francisco and Washington, DC.

The regional offices investigate and settle or prosecute ULP claims as part of the CADR Program, actively encouraging the use of collaboration and alternative dispute resolution at every step, to ensure compliance with all ULP orders issued by the Authority, receive and process representation petitions, and provide facilitation, intervention, training, and education services to the parties. The General Counsel reviews all appeals of a Regional Director's decision not to issue a ULP complaint and establishes policies and procedures for processing ULP charges.

The Federal Service Impasses Panel (FSIP or the Panel) is composed of seven part-time Members who are appointed by the President to serve for a 5-year term. One Member is appointed by the President to serve as the Panel Chair. The Panel resolves bargaining impasses between Federal agencies and unions representing Federal employees arising from negotiations over conditions of employment under the FSLMR Statute and the Federal Employees Flexible and Compressed Work Schedules Act. If bargaining between the parties, followed by mediation assistance, proves unsuccessful, the Panel has the authority to recommend procedures and to take whatever action it deems necessary to resolve the impasse.

The Foreign Service Labor Relations Board (the Board) was created by the Foreign Service Act of 1980 to administer the labor-management relations program for Foreign Service employees in the U.S. Information Agency, the Agency for International Development, the Departments of State, Agriculture and Commerce. The Board is composed of three Members, including the Chair of the Authority who appoints the other two Members, who serve on a part-time basis. The Chair of the Authority also serves as Chair of the Board. The FLRA General Counsel acts as General Counsel for the Board, and the Authority staff provides necessary support to the Board.

The Foreign Service Impasse Disputes Panel (the Disputes Panel) was also created by the Foreign Service Act of 1980. The Disputes Panel is composed of five part-time Members who are appointed by the Chair of the Foreign Service Labor Relations Board (the FLRA Chair). The Disputes Panel resolves bargaining impasses between Federal agencies and Foreign Service personnel in the U.S. Information Agency, the Agency for International

Development, and the Departments of State, Agriculture, and Commerce, over conditions of employment under the Foreign Service Act of 1980. The FSIP staff supports the Disputes Panel.

The FLRA's headquarters is located in Washington, D.C., and maintains regional offices in Atlanta, Boston, Chicago, Dallas, Denver, and San Francisco. The FLRA has 216 full-time equivalents (FTE's) for fiscal year 2000. For FY 2000, the FLRA budget is \$23,781,000.

## FLRA MISSION STATEMENT

The Federal Labor Relations Authority exercises leadership under the Federal Service Labor-Management Relations Statute to promote stable, constructive labor relations that contribute to a more effective Government.

The Federal Labor Relations Authority fulfills its mission by:

- Enforcing and clarifying the law through sound, timely decisions and policies;
- Using fast, simple processes to conduct its business;
- Providing high quality training and education programs, and furnishing effective intervention services; and
- Administering its resources to ensure that services are responsive to the unique needs of its customers.

In order to accomplish this mission, the FLRA has established the following four goals:

1. To consistently provide high quality services that timely resolve disputes in the Federal labor-management relations community.
2. To effectively use and promote alternative methods of dispute resolution and avoidance to reduce the cost of conflict in the Federal labor-management relations community.
3. To maintain FLRA's internal systems and processes to support a continually improving, highly effective and efficient organization with the flexibility to meet program needs.
4. To develop FLRA's human resources to ensure a continually improving, highly effective and efficient organization with the flexibility to meet program needs.



## OFFICE OF INSPECTOR GENERAL

The FLRA'S Office of Inspector General was established pursuant to Pub. L. 100-504, the Inspector General Act Amendments of 1988, which amended Pub. L. 95-452, and the Inspector General Act of 1978. The Inspector General reports directly to the Chairman. As set forth in the authorizing legislation, the Inspector General:

- Conducts and supervises internal reviews, audits and evaluations of the programs and operations of the FLRA;
- Provides leadership and coordination, and recommends actions to management which (1) promote economy, efficiency, and effectiveness in agency programs and operations; and (2) prevent and detect fraud, waste, abuse, and mismanagement of government resources; and
- Keeps the Chairman, FLRA management, and the Congress fully informed regarding problems and deficiencies, as well as the necessity for and the progress of corrective action.

The Inspector General's Office is currently staffed with one full time Inspector General. Budget constraints and prior Agency strategic planning have resulted in one person having oversight responsibility for all of the FLRA's programs, operations, and use of resources. The Inspector General is administratively assisted by a fourth year University student. When required, the FLRA Inspector General uses contractor auditors to assist in performing audits. Legal advice is provided to the Inspector General, on an as needed basis, by the FLRA's Office of the Solicitor. The Office of Inspector General's budget is part of the FLRA's budget. While the Office of the Inspector General FY 2000 overall budget increased from FY 1999's \$183,000 allocation to \$190,000, the increase was primarily due to salaries. The operational portion of the FY 2000 budget was \$68,500. \$66,000 of this was allocated to contractor auditors who performed an audit on information computer security.

## OFFICE OF INSPECTOR GENERAL MISSION STATEMENT

The mission of the FLRA Office of the Inspector General is to provide FLRA leadership, along with an independent and objective assessment of the organization's efficiency and effectiveness. This is accomplished through proactive evaluations of FLRA operational processes. The Inspector General provides necessary oversight and serves as a catalyst for improving and maximizing the efficiency and integrity of FLRA programs and operations. The goal of the Inspector General's work is to maximize the effectiveness of FLRA programs by evaluating performance and identifying ways to make these programs more efficient and effective. In addition, the FLRA Inspector General strives to prevent and detect fraud, waste, abuse, and mismanagement of the FLRA's resources and operations which could adversely impact the organization's integrity and ability to perform its mission in a timely, customer responsive manner.

The primary objectives of the Office of Inspector General are as follows:

- To evaluate the efficiency and effectiveness of FLRA program and resource management and identify the best practices, as well as causative factors, impeding the accomplishment of the FLRA mission.
- To assist the Chairman and FLRA management in carrying out their responsibilities by providing them with objectives and timely information on the conduct of FLRA operations, together with the Inspector General's independent analysis, conclusions, and recommendations.
- To use evaluations, internal reviews, and more traditional assessment tools of audits, inspections, and investigations, to maximize oversight and strengthen system and process controls.
- To support the Administration and Congress in maximizing Government integrity and efficiency and minimizing the occurrence of fraud, waste, abuse, and mismanagement.

## AUDIT ACTIVITY

During this reporting period the following audit was initiated by the Office of the Inspector General:

Audit of FLRA Computer Information Security

In Progress .

The FLRA Inspector General, with the assistance of auditors from Cotton & Company, LLP is currently performing a comprehensive audit of FLRA's computer information security. The audit objective is to render a baseline evaluation of FLRA's compliance with Federal information resource security requirements, and assess the quality of the FLRA's electronic information security system and the procedures and processes used to protect vital and sensitive electronic information. The audit also includes an assessment of the FLRA's communication hardware/software, internal management controls, application software development, change controls, system software, network analysis, and penetration tests. The results of this audit will be issued by the end of the December, 2000.

Internal Review of the FLRA's External Affairs Function

Completed May 31,  
2000

During this reporting period, the FLRA Inspector General completed an internal review of FLRA's external affairs function. This review verified that there were no issues of non-compliance and FLRA administrative external affairs was generally handled in a responsive, customer oriented manner. The review revealed that FLRA's administrative external interfaces and related workload are minimal. The majority of the FLRA's external workload primarily relates to its legal mission. The review revealed that no policy exists for the function, which is decentralized and handled independently in the three legal components of the FLRA (the Authority, the Office of the General Counsel and the Federal Service Impasses Panel). The review did reveal some process deficiencies, such as the lack of overarching agency-wide policy for the conduct of the function, the lack of a central external affairs correspondence tracking system, which results in an accountability vulnerability, and different performance evaluation procedures for two individuals who spent a significant amount of time performing administrative external affairs tasking. The review also revealed that while the external affairs position (Schedule C) was located in the Office of the Chairman, a significant amount of time was devoted to handling administrative external affairs tasking by two employees in the Office of the Executive Director. A total of 14 resources throughout the Agency were involved in external affairs functions.

In addition to recommending the promulgation of agency-wide external affairs policy and procedures and developing a centralized external administrative correspondence tracking

system, the Inspector General recommended that management review the structure and duties of the current external affairs position and consider restructuring the position to afford centralized oversight. FLRA management did not concur that a centralized tracking system or the restructuring of the current position would improve the efficiency or effectiveness of the function. Recommendations from this review are listed on page 36.

Review of the FLRA's FY 99 Annual Performance Plan      Awaiting Management Review

As requested by Congress, the FLRA Inspector General performed a detailed evaluation of the FLRA's FY 99 Annual Performance Plan, which was submitted to the President on March 30, 2000, in compliance with the Government Performance and Review Act of 1993. A previous evaluation of FLRA's compliance with the Government Performance and Review Act was completed by the FLRA Inspector General in May, 1999, which concluded that the FLRA's overall strategic planning effort and accomplishments were meritable. During this initial review, the FLRA Performance Plan for 1999 was also reviewed. The Inspector General made several recommendations to enhance the effort, including addressing cross cutting activities, oversight vulnerabilities, and the impact of resource increases and decreases. The Inspector General also expressed concern over the validity of certain data.

Security Incident Review

Closed May 23, 2000

On May 11, 2000 a cell phone belonging to an FLRA Regional Office was reported missing by an FLRA Regional Office employee who was attending a conference at another Federal agency. The FLRA Security Officer notified the Federal Protective Service who took a report of the incident. The cell phone was subsequently discovered by a contractor who was responsible for setting up and disassembling the conference room. The cell phone was returned to the FLRA regional office on May 23, 2000.

EXTERNAL REVIEWS

During this reporting period there were no external reviews of FLRA operations by external oversight organizations.

## INVESTIGATIVE ACTIVITY

During this period, the Inspector General received and conducted five preliminary investigation and one administrative investigations.

<u>Case Number</u>	<u>Subject</u>	<u>Status</u>
2000-I-16	Preliminary Investigation: Alleged misuse of executive privileges.	Closed FLRA IG Unsubstantiated
2000-I-17	Preliminary Investigation: Alleged inconsistent hiring practices.	Closed FLRA IG Unsubstantiated
2000-I-25	Preliminary Investigation: Cell phone missing from FLRA Regional Office.	Open FLRA Security Office FLRA IG Federal Protective Service
2000-I-29	Preliminary Investigation: Alleged forgery of Union attorney signature on FLRA Arbitration Appeal Case.	Closed FLRA IG TIGTA IG DOL IG Unsubstantiated
2000-I-30	Administrative Investigation: Alleged non-compliance with Paperwork Reduction Act.	Closed FLRA IG Substantiated
2000-I-34	Preliminary Investigation: Alleged forgery of advisory e-mail.	Closed FLRA IG Unsubstantiated
2000-I-35	Preliminary Investigation: Alleged false collection of Workman's Compensation.	Open FLRA IG In progress

## INSPECTOR GENERAL HOTLINE REQUESTS

During this reporting period, the following Hotline/Inspector General Assistance requests were processed through the FLRA Office of the Inspector General.

<u>Case Number</u>	<u>Subject of Assistance</u>	<u>Status</u>
2000-H-15	Request for information on working hour breaks.	Referred to Dept. of Labor
2000-H-18	Request for telephone number of Department of Veterans Affairs Inspector General.	Referred to Dept. of Veterans Affairs Inspector General
2000-H- 19	Federal employee alleged Union Officials not representing employees.	Referred to FLRA Washington Regional Office
2000-H-20	Federal employee requested information on filing an unfair labor practice charge.	Referred to FLRA Washington Regional Office
2000-H-21	Dept. of Veteran Affairs employee alleged management mistreatment.	Referred to Dept. of Veterans Affairs Inspector General
2000-H-23	Federal employee requested information on appellate time lines.	Referred to FLRA Case Control Office
2000-H-24	Federal employee requested information on disability rights.	Referred to Office of Personnel Management
2000-H-26	Private sector, non-union employee requested information on annual leave.	Referred to Dept. of Labor

2000-H 27	Former Postal Service employee requested investigation into management threats and harassment.	Referred to Postal Service Inspector General
2000-H-28	Federal employee wanted to file a complaint against Union attorney.	Referred to FLRA Washington Regional Office
2000-H-31	Federal employee requested information on oversight for the Federal Aviation Administration.	Referred to Dept. of Transportation
2000-H-32	Federal employee requested information on use of official time to meet with Union representative.	Referred to Washington Regional Office
2000-H-33	Federal employee/co-workers having difficulty getting sick leave/annual leave approved by management and unable to get representation/help from Union.	Referred to Chicago Regional Office
2000 -H-37	Postal Service employee alleges hiring discrimination.	Referred to US Postal Service Inspector General

## OTHER OVERSIGHT ACTIVITIES

### Congressional Requests

During this reporting period, the FLRA Inspector General received three Congressional requests for Inspector General information. One request resulted in the evaluation of the FLRA's FY 99 Annual Performance Plan. The second involved a request for information related to subject areas of the Collin's Bill. The third involved information on the administration of oversight and investigation subject matter.

### Continuing Education

During the report period, the FLRA Inspector General obtained 44.5 CPE's by attending the Institute of Internal Auditors Audit and Fraud Conferences and the National Law Institute's Corporate Management Review Conference.

### Executive Council for Integrity and Efficiency

During this reporting period the FLRA Inspector General was one of two Executive Council for Integrity and Efficiency Inspectors General to serve on the Presidential Counsel for Integrity and Efficiency/Executive Council for Integrity and Efficiency Strategic Planning Development Committee and Legislative Committee.

### Review of Legislation

During this reporting period, the FLRA Inspector General received and provided comments on the following legislation:

E- Government.

Electronic Signatures in National and Global Commerce Act (PL 106-299).

FLRA Alternative Dispute Resolution of EEO Complaints, Draft attachment to Chief Information Officer of the United States Act of 2000 (H.R. 4670).

Federal Information Policy Act of 2000 (H.R. 5024).



## SPECIFIC REPORTING REQUIREMENTS OF THE INSPECTOR GENERAL ACT OF 1978, AS AMENDED

The following provides the report page references containing the Inspector General responses, if any, to specific reporting requirements set forth in certain sections of the Inspector General Act of 1978, as amended.

Section 4(a)(2) Review of legislation and regulations.	Page 14
Section 5(a)(1) Significant problems, abuses, and deficiencies.	None
Section 5(a)(2) Recommendations with respect to significant problems, abuses, or deficiencies.	None
Section 5(a)(3) Prior significant recommendations on which corrective action has not been completed.	None
Section 5(a)(4) Matters referred to prosecutorial authorities.	None
Section 5(a)(5) Summary of instances where information was refused.	None
Section 5(a)(6) List of audit reports.	Page 9
Section 5(a)(7) Summary of significant reports.	None
Section 5(a)(8) Statistical table of reports with questioned costs.	None
Section 5(a)(9) Statistical table of reports with recommendations that funds be put to better use.	None
Section 5(a)(10) Summary of previous audit reports without management decisions.	None
Section 5(a)(11) Significant management decision revised during this period.	None
Section 5(a)(12) Significant management decision with which the Inspector General disagrees.	None

TABLE I: INSPECTOR GENERAL AUDIT REPORTS WITH QUESTIONED COSTS

INSPECTOR GENERAL REPORTS WITH QUESTIONED COSTS	NUMBER OF REPORTS	DOLLAR VALUE	
		Questioned Costs	Unsupported Costs
A. For which no management decision has been made by the commencement of the reporting period.	0	0	0
B. Which were issued during the reporting period.	0	0	0
C. For which a management decision was made during the reporting period.	0	0	0
(I) dollar value of disallowed costs.	0	0	0
(ii) dollar value of costs not disallowed.	0	0	0
D. For which no management decision has been made by the end of the reporting period.	0	0	0

TABLE II: INSPECTOR GENERAL AUDIT REPORTS WITH RECOMMENDATIONS THAT FUNDS BE PUT TO BETTER USE

INSPECTOR GENERAL REPORTS WITH RECOMMENDATIONS THAT FUNDS BE PUT TO BETTER USE	NUMBER OF REPORTS	DOLLAR VALUE
A. For which no management decision has been made by the commencement of the reporting period.	0	0
B. Which were issued during the reporting period.	0	0
C. For which a management decision was made during the reporting period.		
(i) dollar value of recommendations that were agreed to by management.	0	0
(ii) dollar value of recommendations that were not agreed to by management.	0	0
D. For which no management decision was made by the end of the reporting period.	0	0

# GLOSSARY

## Final Action

Completion by management of either all actions necessary to implement report recommendations or a management decision that determines no action is necessary.

## Funds Be Put To Better Use

The amount of savings estimated by the Inspector General that could be obtained by implementing report recommendations relating to more efficient management operations.

## Management Decision

A final decision made by management in response to audit report recommendations that may include actions concluded to be necessary or a determination that no action is necessary.

## Management Letter

This document brings to the attention of management any of a broad range of issues and subjects which should be addressed by management but do not require formal audit or investigation. Management letters are generally unplanned and are issued to report on situations found in conjunction with an on-going or completed audit or investigation. They may also be used to expand on previously issued audit report recommendations.

## Questioned Costs

Expenditures questioned by the Inspector General are usually due to the following:

- Unsupported costs, which involve inadequate documentation;
- Disallowed costs, which involve an alleged violation concurred with by Management Decision of a law, regulation, grant, contract, or another agreement; or
- Unnecessary or unreasonable costs which involve unnecessary or wasteful spending.

## Significant Recommendations

According to Section 5(a)3 of the Inspector General Act, the Inspector General is required to follow up and report on the implementation status of all open "significant recommendations" from prior Semiannual reports. The Inspector General has defined "significant recommendations" as those that pertain to deficiencies that could result in FLRA failure to accomplish mission functions or could result in additional costs or lost funds exceeding \$5,000. During this reporting period, there were no opened significant recommendations.

FLRA INSPECTOR GENERAL  
AUDIT & MANAGEMENT CONSULTATION PROJECTS  
SUMMARY  
April 1, 2000 -September 30, 2000

<u>Subject</u>	<u>Status</u>
Audit of Computer Information Security	In Progress
FLRA Update of Policy, MOUs, Procedures	Continuing
Management Review of External Affairs	Completed
FY 99 Annual Performance Plan Evaluation	In Progress
Internal Review of Office of the General Counsel's Unfair Labor Practice Charge Investigation Process	In Progress

FLRA INSPECTOR GENERAL  
CORRECTIVE ACTION SUMMARY  
April 1, 2000 - September 30, 2000

New Corrective Actions	4
Open Corrective Actions carried over	54
Total Open Corrective Actions	42
Total Actions Closed this period	<u>23</u>
Total to be Carried Over	41

**CORRECTIVE ACTION STATUS**

September 15, 2000

Office of the Inspector General

FLRA

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status
<b><u>NARA EVALUATION</u></b>					
<b>Records Evaluation of Federal Labor Relations Authority</b>					
<b>Section I</b>					
	July 1998	I/1 Update FLRA Regulations 1323.1 to indicate that the records management duties are currently assigned to the Director/ ASD.	9/30/2000 Revised 9/30/2001	5/7/99	Closed
		I/2 Require Office heads to officially designate records coordinators and ensure the RMO is provided the names of these contacts.	11/16/98	11/4/98	Closed
		I/3 Add the following definitions: "Unscheduled records," "temporary records," and "permanent records" and add General Records Schedules description as the NARA-approved schedules dealing with the disposition of administrative records	By the end of FY 2001.		Open
		I/4 Ensure staff review and become aware of FLRA Regulation 1323.1 record management provisions.	Annually-November		Closed
		I/5 Ensure that staff knows whom to consult about records management issues.	10/21/98	10/21/99	Closed
		I/6 (A) Ensure that the staff responsible for records management receive appropriate training.	10/98 Revised 12/30/99	12/2/99	Closed
		(B) Ensure records management managers are trained.	2/30/99	11/2/99	Closed
		(C) Add records training to the Records Coordinators Individual Development Plan.	12/98	4/1/2000	Closed
		I/7 (A) Ensure professional staff are given information on records management policies and procedures.	As needed		Closed
		(B) Ensure records are scheduled.	Annually- in conjunction with I/4. Status update 10/1/98		Closed



**CORRECTIVE ACTION STATUS**

September 15, 2000

Office of the Inspector General

FLRA

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status
		I/8 (A) Develop a self-evaluation record management checklist and distribute.	9/30/2001		Open
		(B) Conduct periodic evaluations.	Every 3 years on October 1.		Ongoing
		(C) Ensure recommendations are being implemented.	Implement every 3 years.		Ongoing
<b>Section II</b>		II/1 Ensure that the maintenance of records documenting agency actions, policies and procedures is current and distributed to staff.	9/2001		Open
		II/2 (A) Review working case files retention	12/30/99 Revised 9/30/2001		Open
		(B) Meet with Office Directors to develop retention schedules for all records not in current schedule and get recommendations for changes to current schedule.	6/30/2002		Open
		(C) Develop retention schedules for new new records and make changes to current schedules.	6/30/2002		Open
		(D) Submit new schedule for Archivist's approval.	6/30/2002		Open
		(E) Include approved schedule in updated Instruction 1323.1.	6/30/2002		Open
		II/3 Require offices to separate temporary and permanent case files.	9/30/ 2001		Open
		II/4 Ensure that photographs that are a part of a permanent case file conform with 35 CFR § 1232.	9/30/2001		Open
		II/5 Establish a Vital Records Program.	9/30/2001		Open
		II/6 Identify vital FLRA records and enact measures to protect and update them, and ensure their availability during emergencies.	9/30/2001		Open
		II/7 Consider the offsite maintenance/storage of copies of vital records.	9/30/2001		Open

**CORRECTIVE ACTION STATUS**

September 15, 2000

Office of the Inspector General

FLRA

<b>Report No.</b>	<b>Issued</b>	<b>Recommendation</b>	<b>Target Completion</b>	<b>Actual Date</b>	<b>Status</b>
<b>Section III</b>		<b>III/1 (A)</b> Identify which FLRA records are not covered by records schedule or the General Record Schedules.	9/30/2001		Open
		<b>(B)</b> Develop and submit to NARA proposed records schedules for unscheduled records.	9/30/2001		Open
		<b>(C)</b> Schedule the electronic records system.	9/30/2001		Open
		<b>III/2 (A)</b> Identify inadequately covered record series.	9/30/2001		Open
		<b>(B)</b> Revise outdated descriptions of series.	9/30/2001		Open
		<b>III/3</b> Review disposition instructions for temporary and permanent record cases and modify retention period.	Same as III/2(A) & (B) above		Open
		<b>III/4</b> Review FLRA Records Control Schedule items containing permanent cases selection criteria to determine the adequacy/ applicability to records currently being created.	Same as III/2(A) & (B) above		Open
	<b>III/5</b> Ensure that offices apply the current version of General Records Schedules to administrative records whose disposition are not covered by FLRA Records Control Schedules (N1-146-86-1).	10/21/98	10/21/99	Closed	
	<b>III/6</b> Issue current FLRA Records Control Schedules and NARA's General Records Schedules as appendixes to FLRA 1323.1.	9/30/2001		Open	
	<b>III/7</b> Transferring eligible publications (1979-1983) to the National Archives according to Records Control Schedules instructions.	8/99 Revised to 10/31/99	12/3/2000	Closed	

**CORRECTIVE ACTION STATUS**

September 15, 2000

Office of the Inspector General

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Report No.	Issued	Recommendation	Target Completion	Actual Date	Status
		III/8 (A) Designate a professional in each office to apply criteria to each records series to determine if series should be considered permanent.	11/16/98	10/21/98	Closed
		(B) Apply selection criteria before cases are retired to records center.	9/30/2001		Open
		(C) Ensure that responsible FLRA officials examine retired record center case files that may contain permanent records and apply appropriate selection criteria.	Ongoing		Open
<b><u>For All Regions</u></b>					
Recommendation 1		(A) Provide formal records management training for records management staff.	11/98 Revised to 12/31/99	12/2/2000	Closed
		(B) Identify training for Records	FY 1999	1/28/99	Closed
Recommendation 2		(A) Use FLRA schedules criteria to identify case files that may warrant permanent retention.	3/99	1/28/99	Closed
		(B) Segregate the files identified above and transfer them to the appropriate records center	4/99	4/5/99	Closed
		(C) Certify to Director ASD that (1) and (2) have been completed.	5/99 Revised to 12/31/99	1/10/2000	Closed
<b><u>For Chicago Regions</u></b>					
Recommendation 1		(A) Transfer the 5 Unfair Labor Practice cases to National Archives Great Lakes Region according to N1-146-86-1, Item 35a.	4/99 Revised to 10/1/99	9/28/99	Closed
		(B) Certify to Director ASD that (1) is complete.	5/99 Revised to 10/1/99	9/28/99	Closed
Recommendation 2		(A) Examine Unfair Labor Practice and record cases to identify if other case files should be identified as permanent and transferred to the National Archives.	5/99 Revised to 10/1/99	9/28/99	Closed

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		(B) Segregate the files identified above and transfer to the appropriate Records Center.	5/99 Revised to 10/1/99	9/28/99	Closed
		(C) Certify to ASD that (1) & (2) have been completed.	5/99 Revised to 10/1/99	9/28/99	Closed
Recommendation 3		Formalize the creation/maintenance/disposition of admin. records to the same extent as program records.	9/30/2001		Open
Recommendation 4		Offer records management guidance to staff on electronic Records Management and FOIA Procedures (including E-FOIA amendments).	9/30/2001		Open
<u>Management Letter</u> <u>Instructions/MOU Updates</u>	4/19/98	1. Update all FLRA delegations of authority, Memoranda of Understanding, and instructions to reflect current mission.	12/2000 Revised to 9/30/2001		Open
		2. Distribute updated policy to all managers make available to all employees in one central folder on the FLRA website along with updated index.	2/2000 Plan due 12/99 Revised 12/31/2001		Open
<u>GPRA Evaluation</u>	4/24/99	1. Expand component action plans to quantify factors affecting performance and how changes in resources, cross cutting activities could affect strategic planning.	9/30/2000	9/20/2000	Closed
		2. Incorporate guidelines for acceptable performance in component and employee work plans.	9/30/2000	9/20/2000	Closed
		3. Establish performance measurement criteria and baseline performance standards for component and Strategic Plan.	9/30/2000	9/20/2000	Closed
		4. Incorporate in future component action plans, GAO, OMB, OPM and IG etc. program evaluation findings and cross-cutting activities that impact mission accomplishment.	9/30/2000	9/20/2000	Closed

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		5. Address the problem of data consistency and credibility by establishing management and technology controls.	9/30/2000	9/20/2000	Closed
<u>Case Control Office Review</u>		1. Chair, FLRA, review, revise and update the Member's delegated authority to the Case Control Office which permits the Case Control Office to grant or deny request for exceptions and file supplemental submission, withdraw appeals, and requests to present written arguments.	1/18/2000		Closed
		2. Director, Case Control Office, review and update Case Control Office administrative policy and internal procedures to ensure it reflects current procedures and processes. Incorporate customer communications guidance, security measures and contingency operations. Review policies and procedures every 3-5 years to ensure and maintain currency.	5/31/2000	9/18/2000	Closed
		3. Director, Case Control Office, review current procedures and consolidate them in a procedural manual. The manual should cover standard and unique procedures for each of the type of case processed by the Case Control Office. Care should be taken to review recent changes in the Negotiability Regulations and evaluate any impact/changes in procedures. Include a case-decision distribution list.	5/31/2000	9/18/2000	Closed
		4. Director, Case Control Office, confer with Members concerning the feasibility of incorporating statements in acknowledgment letters indicating an approximate length of time (whether statutory or merely goal-oriented) it will usually take to issue a formal decision (i.e. 180 days). If the time indicated cannot be met, a subsequent "interim" letter should be sent to the parties informing them that the time-line will not be met and provide a revised estimated completion date. This letter can be a form letter but should be personalized to the specific case.	10/6/99		Closed

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<b>Report No.</b>	<b>Issued</b>	<b>Recommendation</b>	<b>Target Completion</b>	<b>Actual Date</b>	<b>Status</b>
		5. Director, Case Control Office, should make multiple copies of a case file for distribution to Members (Central Team or Collaborative Alternative Dispute Resolution Office) only after the case is reviewed and deemed procedurally correct.	11/30/99		Closed
		6. Director, Case Control Office, in his review processes, procedures and position, management, and structure, should appropriately examine the case tracking system administrative process and realign duties and/or simplify existing procedures.	4/28/2000 Revised to 6/30/2000	7/2000	Closed
		7. Director, Case Control Office, with guidance from the Inspector General and/or Human Resources Division, should begin to collect workload and staffing data to support future staffing requirements.	1/31/2000		Ongoing
		8. Director, Case Control Office, expand administrative procedures to incorporate guidance on what information regarding case status and substantive materials can be revealed to the public.	5/31/2000	9/18/2000	Closed
		9.a Director, Case Control Office, ask the Human Resources Division to conduct a position management review (including a workload-staffing analysis) to assess grade/workload structure within Case Control Office.	5/1/2000	7/20/2000	Closed
		9.b Director, Case Control Office, works with the Director, Personnel and other appropriate Agency managers, to create a developmental Program for administrative support staff (internal within the Authority, General Counsel and Federal Service Impasses Panel) and external(i.e. National Labor Relations Board, Merit System Protection Board, Equal Employment Opportunity, etc.) The program should create upward mobility structures for junior personnel that would support employee development and sensible use of resources.	9/30/2000	7/20/2000	Closed

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		10. Director, Case Control Office, implement procedures to safeguard sensitive information by securing tickler system formal files containing sensitive information and other case files in a locked container (the Locktriever or file cabinet with locks or something comparable) at the end of the day to prevent after-hours access.		10/29/99	Closed
		11. Director, Case Control Office, work with other Authority management to address performance goals in the FY 99 Strategic Plan.		10/6/99	Closed
		12. Director, Case Control Office, continue working with management in the Authority and Information Resources Management to capture statistics truly representative of the Authority and Case Control Office case control process, using factors such as: -Date received in Case Control Office for in-processing -Dates held in abeyance in Case Control Office -Date Procedural Review completed -Date case dismissed or withdrawn by parties -Date forwarded to Screening Committee -Date assigned to Members' Offices/Central Team/CADRO -Date held in abeyance in Members Office -Date assigned to case writer -Date forwarded to deciding Member -Date forwarded to other Members -Date decision rendered -Date received in Case Control Office for out-processing -Date decision released -Date case closed		1/31/2000	Closed
		13.a Director, Case Control Office, continue working with the Director of Information Resource Management to find a viable way to achieve the WordPerfect 6.1 user-friendly research/find capability that the WordPerfect 8.0 program lacks.	4/7/2000	9/20/2000	Closed
		13.b Director, Case Control Office, continue working with Information Resource Management Division to incorporate some of the "critical programming" from the 6.1 system into the 8.0 system. Consult with WordPerfect contractor principals to determine if customized programming is possible.	4/7/2000	9/20/2000	Closed

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		14. Director, Case Control Office, document manual case-tracking to provide documented internal procedures for Year 2000 contingency planning.		11/30/99	Closed
		15. Director, Case Control Office, create a plan that would ensure that historical as well as current data is quickly entered in the new Case Tracking System.		5/4/99	Closed
		16. Director, Case Control Office, continue maintaining an ongoing list of the problems staff encounters when using the new Case Tracking System and provide the list to the Director, Information Resource Management for correction.		9/30/99	Closed
		17. Director, Case Control Office, continue consulting with Information Resource Management Division to address the hardware/software problems in Case Control Office that are affecting the Office's ability to perform its duties.		1/14/2000	Closed
		18. Director, Case Control Office, and Authority Management, in conjunction with Information Resource Management, should explore the feasibility of centralizing case-tracking within the Authority with read-only access for Authority offices not responsible for initial data entry but with the capacity of adding data on their own system to address their additional and unique requirements.		2/25/2000	Closed
		19. Director, Case Control Office, check all case files prepared in the Case Control Office prior to release to ensure that draft orders are appropriately written and that procedural determinations are correct. The Screening Committee should also render a "quality check" so that documentation sent to Members Offices, the Central Team or Collaborative Alternative Dispute Resolution Office conforms with defined requirements.		9/30/99	Closed
		20. Director, Case Control Office review customer suggestions listed below and incorporate in case processing procedures, as appropriate		10/6/99	Closed
		A. -Case files should always include the telephone numbers of both parties.			



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		<p>-Case files would be easier to use if the pleadings were filed sequentially.</p> <p>B. Complex procedural reviews (interlocutory, jurisdictional, etc.) should be done by or in conjunction with case writers who are more apt to catch legal nuances.</p> <p>C. Member Office case decisions should not be transferred to the L Drive (and Case Control Office) until comments or concurrences from the other two Members have been received and incorporated into the final Decision Order.</p> <p>D. The Members' case retirement system and that of the Case Control Office should not differ even though the former deals with copies and the latter deals with originals.</p> <p>E. More care must be rendered to ensure the accuracy of references and citations and not to issue final documents containing typographical errors.</p> <p>F. Provide access to case summaries to case writers and chief counsels. It would also be helpful if case summaries were made part of the Individual case files.</p> <p>G. Automate a chronology listing of Authority Decisions accessible through Media Flash or similar program.</p> <p>H. Notify General Counsel when decisions on ULP appeals are issued.</p>			
<u>OPM Review of FLRA Human Resource Program</u>	July 1999	1. Conduct an internal audit of delegated examining activities no later than April 30, 2000, using non -FLRA DEU staff.	4/30/2000	3/37/2000	Closed

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		2. Develop Performance indicators to measure HR progress.	9/30/2000	9/20/2000	Closed
		3. Establish an Accountability System to assess management utilization of human resources.		10/31/2001	Open
		4. Establish methodology to evaluate recruitment strategies.		6/99	Closed
		5. Devise a strategy to increase employment of veterans.		6/99	Closed
		6. Ensure the integrity of the student hiring program by requiring documentation that student has been accepted for or is enrolled in an appropriate school and is taking at least a half-time course load.		9/28/99	Closed
		7. Review work and family programs and relationship to productivity, morale and retention.		9/28/99	Closed
		8. Study quality of performance feedback and provide strategies for ensuring sufficient quality performance feedback is provided to employees.	9/30/2000 Revised 6/30/2001		Open
		9. Evaluate and improve strategies for dealing with poor performers.	9/30/2000	9/20/2000	Closed
<b><u>Audit of FY 98 Financial Statements 99-01</u></b>		1. Transition current accounting records process to an accrual basis for at least end of year data to conform with the intent of Federal accounting principles as promulgated by OMB 97-01.		8/26/99	Closed
		2. Explore using the Department of Treasury's Financial Management Service to assist in bringing FLRA's general ledger into compliance with the Standard General Ledger Committee's cross-walks for financial reports guidance. FLRA's BFD has been aware of this problem and has been working on rectifying it.		3/28/2000	Closed

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Report No.	Issued	Recommendation	Target Completion	Actual Date	Status
		3. Review year-end adjustments to ensure that there is a financing source recorded for every funded expense. Ensure that all manual adjustment are reflected in the year-end general ledger to maintain consistency among year end reports.		9/28/99	Closed
		4. Set up an accrual end-year for the amount due to the Department of Labor's Employment Standard Administration for FECA charges.		9/28/99	Closed
		5. Create an accounts payable Subsidiary Ledger to support Accounts Payable balance at year end with sufficient detail.		8/26/99	Closed
		6. Review and enhance the FLRA Accounting Manual to reflect specific B&FD duties.	9/30/2000 Revised 9/30/2001		Open
		7. Institute procedures so that the Statement of Transaction Report (FMS 224) is reviewed before submission either by the Accounting Officer or Executive Director.		9/28/99	Closed
		8. Provide detail by major object class, e.g. payroll, travel, etc. for Proprietary Account Account Number 6100.	Accounting cost prohibitive	8/26/99	Closed
		9. Provide Administrative Services Center in Denver with FLRA written procedures for travel orders and vouchers.		9/28/99	Closed
		10. Provide the Administrative Services Center Denver with a current list of those FLRA personnel qualified to authorize travel orders and vouchers at a minimum, this list should be updated annually.	10/31/99	11/23/99	Closed
		11. Instruct Payroll Operations Division in Denver to reconcile Annual Leave Accrual Summary Reports.		9/28/99	Closed

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		12. Review all current personnel files to Ensure payroll, leave and benefits information is correct and reconciles that which is maintained by Denver Payroll Operations Division and take appropriate action to reconcile any overpayments or under-payments found. The results of this effort should be specifically reported to the FLRA Inspector General.	5/30/2000 Revised 9/30/2001		Open
		13. Maintain sufficient documentation to assist in monitoring costs being billed to the FLRA by the General Services Administration.	Unable to comply due to GSA billing procedures.	8/26/99	Closed
		14. Review, update, and revise as necessary, FLRA Regulation 2301.1, Financial Management Systems to reflect contemporary policy, including a requirement for a documented yearly review of financial management systems by the Executive audits of financial management statements by an independent source not more than every three years (for the three year period).	9/30/2000 Revised 9/30/2001		Open
<u>Management Letter to OGC 1/10/00</u>		1. Personalize unfair labor practice charge and appeal dismissals to enhance customer service.		2/15/2000	Closed
<u>00-01 Review of Human Capital Investment</u>	2/2000	1. a. Conduct exit interviews to provide annual data on the reasons employees leave FLRA.		9/20/2000	Closed
		b. FLRA Partnership Council research and develop employment retention Incentives.		9/20/2000	Closed
		2. Review work requirements for entry level and journey level attorneys to validate grade levels.	7/31/2000	9/20/2000	Closed

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LRA

Report No.	Issued	Recommendation	Target Completion	Actual Date	Status
		3. Budget 3% of yearly appropriation for employee training, require IDPs and discussions of training with supervisors and peers to get maximum return on training investments.	Management Rejected recommendation		
		4. a. Revitalize Upward Mobility Program for development of administrative support, para-professional and clerical personnel.	12/2000 Revised 9/30/2001		Open
		b. As vacancies occur, designate 2 positions. For the Upward Mobility Program and open to all FLRA employees.	12/2000 Management supports recommendation but cannot commit to a specific number of positions.	7/20/2000	Closed
		5. a. Educate supervisors on obligations and responsibilities in personnel management and performance appraisals.	9/30/2000 Management supports		Ongoing
		b. Ensure that all first line supervisors have a human resource performance element and are rated on their supervisory performance and mentorship as well as technical elements.	6/30/2000	7/20/2000	Closed
		c. Plan activities, seminars, offsites fostering communication between employees and management.		9/20/2000	Closed
		6. Develop internal technical orientations for new employees at the organizational element level and provide to new employees prior to initial major workload assignments.	FY 2001		Open
		7. Conduct position management reviews and workload analysis on vacated positions prior to rehiring and conduct workload analysis of all organizations to ensure grade levels, classification and allocations support reoccurring mission essential workload.	management does not concur with recommendation. Considers it budget resources submissions an alternative to workload analysis/position management.		Closed

**Report all matters involving fraud, waste, abuse, or mismanagement by  
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